Image# 12972223097 PAGE 1 / 17

### **FEC** FORM 3X

### **REPORT OF RECEIPTS AND DISBURSEMENTS**

	For Other Than An Au	thorized Committee	Office Use Only
NAME OF     COMMITTEE (in full)	TYPE OR PRINT ▼	Example: If typing, type over the lines.	12FE4M5
Securities Industry and	d Financial Markets A	Association Political Ac	tion Committee
ADDRESS (number and street)	1101 New York Avenue, N	<b>W</b>	
TIDITESS (number and street)	8th Floor		
Check if different than previously	Washington		DC   20005
reported. (ACC)			
2. FEC IDENTIFICATION N	JMBER ▼ CI	TY▲	STATE ▲ ZIP CODE ▲
C C00431312		S THIS REPORT X (N) O	AMENDED (A)
4. TYPE OF REPORT (Choose One)	Report Due On:	0 20 (M2) May 20 (M2)	(Non-Election Year Only)
(a) Quarterly Reports:		r 20 (M3) Jun 20 (N	(Non-Election Year Only)
April 15 Quarterly Report (0		r 20 (M4) Jul 20 (M	7) Oct 20 (M10) Jan 31 (YE)
July 15	(C) 12-Day	Primary (12P)	General (12G) Runoff (12R)
Quarterly Report (C	Report for the:	Convention (12C)	Special (12S)
Quarterly Report (C January 31 Year-End Report (Y		on on	in the State of
July 31 Mid-Year Report (Non-electio Year Only) (MY)	(d) 30-Day	General (30G)	Runoff (30R) Special (30S)
Termination Report (TER)	Report for the:	M = M / D = D	/ Y Y Y Y in the
(ILN)	Electi	on on	State of
5. Covering Period 08	M / D D / Y Y Y Y Y Y 3 Y 3 Y 3 Y 3 Y 3 Y 3 Y 3	through 08	M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
I certify that I have examined the	nis Report and to the best o	f my knowledge and belief it is	true, correct and complete.
Type or Print Name of Treasure	Mr. Kenneth E. Bentsen Jr		
Signature of Treasurer Mr. I	Kenneth E. Bentsen Jr.	[Electronically Filed]	Date 09 20 / Y Y Y Y Y
NOTE: Submission of false, erron	eous, or incomplete information	on may subject the person signir	g this Report to the penalties of 2 U.S.C. §437g.
Office			FEC FORM 3X
Use Only			Rev. 12/2004

## SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003) Page 2

Write or Type Committee Name

#### Securities Industry and Financial Markets Association Political Action Committee

80 2012 80 2012 Report Covering the Period: 31 From: To: **COLUMN A COLUMN B** This Period Calendar Year-to-Date (a) Cash on Hand 253204.51 January 1, 2012 (b) Cash on Hand at 243654.80 Beginning of Reporting Period..... 217129.54 22719.13 (c) Total Receipts (from Line 19) ..... (d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 266373.93 470334.05 6(a) and 6(c) for Column B)..... 490.38 204450.50 Total Disbursements (from Line 31)...... Cash on Hand at Close of 8. Reporting Period 265883.55 265883.55 (subtract Line 7 from Line 6(d))..... Debts and Obligations Owed TO the Committee (Itemize all on 0.00 Schedule C and/or Schedule D) ..... 10. Debts and Obligations Owed BY the Committee (Itemize all on 0.00 Schedule C and/or Schedule D) .....

<

This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

#### For further information contact:

Federal Election Commission 999 E Street, NW Washington, DC 20463

Toll Free 800-424-9530 Local 202-694-1100

#### **DETAILED SUMMARY PAGE**

of Receipts

FEC Form 3X (Rev. 06/2004)

Write or Type Committee Name

#### Securities Industry and Financial Markets Association Political Action Committee

I. Receipts  (other than loans) From:  Als/Persons Other  Ultical Committees  zed (use Schedule A)	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
als/Persons Other litical Committees		
litical Committees		
zod (uco Schodulo A)	14178.68	156402.72
zed (use Scriedule A)	14178.00	130402.72
	50.07	3351.94
·	14228.75	159754.66
-	0.00	0.00
s PACs)	8000.00	55500.00
•		
Line 33, page 5)	22228.75	215254.66
	0.00	0.00
ceived	0.00	0.00
	0.00	0.00
· ·	400.38	4005.00
	490.30	1865.88
	0.00	0.00
	0.00	0.00
· · · · · · · · · · · · · · · · · · ·	0.00	9.00
	0.00	3.00
	0.00	0.00
_	7	
nds (from Schedule H5)	0.00	0.00
nsfers (add 18(a) and 18(b))	0.00	0.00
	Party Committees	AL (add s 11(a)(i) and (ii)

#### **DETAILED SUMMARY PAGE**

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

	oursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
	ditures: ——deral/Non-Federal Schedule H4)		Calcinal Tour to Bute
• ,	Share	0.00	0.00
(,	F		
` '	deral Share	0.00	0.00
(b) Other Federa		490.38	1941.50
	ing Expenditures	490.36	1941.50
	, (a)(ii), and (b))▶	490.38	1941.50
Transfers to Affilia		7	
		0.00	0.00
Contributions to Federal Candidat and Other Politication	es/Committees al Committees	0.00	202500.00
Independent Exp	enditures		
(use Schedule E) Coordinated Part	v Evnenditures	0.00	0.00
(2 U.S.C. §441a(	d))	0.00	2.22
(use Schedule F)		0.00	0.00
Loan Repayment	s Made	0.00	0.00
Loans Made Refunds of Contr	ibutions To:	0.00	0.00
(a) Individuals/P	ersons Other		0.00
Than Politica	al Committees	0.00	0.00
(b) Political Part	y Committees	0.00	0.00
	al Committees	3.00	
` '	Cs)	0.00	0.00
(d) Total Contrib	ution Refunds		
` '	8(a), (b), and (c))▶	0.00	0.00
(444 21100 2	εσ(α), (ε), απα (ο),	7	7 7 7
Other Disbursem	ents	0.00	9.00
	_		
	Activity (2 U.S.C. §431(20))		
` '	deral Election Activity		
(from Sched	thare	0.00	0.00
(i) i caciai c			
(ii) "Levin" S	hare	0.00	0.00
(b) Federal Elec	tion Activity Paid Entirely		
	deral Funds	0.00	0.00
. ,	I Election Activity (add	0.00	0.00
Lines 30(a)	(i), 30(a)(ii) and 30(b))▶	0.00	0.00
Total Disburseme	nts (add Lines 21(c), 22,		
	7, 28(d), 29 and 30(c))	490.38	204450.50
		7	
Total Federal Dis			
	(a)(ii) and Line 30(a)(ii)	400.00	204452.52
trom Line 31)		490.38	204450.50

#### **DETAILED SUMMARY PAGE**

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

1 20 1 3 m 3x (110 x 02 2000)	. ago <b>c</b>		
III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date	
3. Total Contributions (other than loans) (from Line 11(d), page 3)	22228.75	215254.66	
1. Total Contribution Refunds (from Line 28(d))	0.00	0.00	
5. Net Contributions (other than loans) (subtract Line 34 from Line 33)	22228.75	215254.66	
i. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))▶	490.38	1941.50	
7. Offsets to Operating Expenditures (from Line 15, page 3)	490.38	1865.88	
3. Net Operating Expenditures (subtract Line 37 from Line 36)	0.00	75.62	

Use separate schedule(s) for each category of the Detailed Summary Page

F	FOR LINE NUMBER:			PAGE	6	OF		17		
(check only one)										
	X	11a		11b		11c	12			
		13		14		15	16	;		17

NAME OF COMMITTEE (In Full)	the name and address of any political committee	
,	cial Markets Association Political A	ction Committee
Full Name (Last, First, Middle Initial)  Mr. Laurence Kantor		Date of Receipt
Mailing Address 745 7th Avenue	7.01	08 02 7 2012
City	State Zip Code NY 10019-6801	Transaction ID: 20238952
New York	NY 10019-6801	_ Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	2000.00
Name of Employer	Occupation	
Barclays Capital	Managing Director	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	2000.00	Contribution
Full Name (Last, First, Middle Initial)  Ms. Cheryl Crispen	ı	Date of Receipt
Mailing Address 1101 New York Ave, NW		08 08 2012
City	State Zip Code	Transaction ID : 20262251
Washington	DC 20005-4213	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	96.15
Name of Employer Securities Industry and Financial Mark	Occupation  Executive Vice President, Communicatio	
Receipt For:  Primary General  Other (specify) ▼	Aggregate Year-to-Date ▼ 1442.25	
Full Name (Last, First, Middle Initial)  . Ms. Bradley Gaskins Edgell		Date of Receipt
Mailing Address 1101 New York Ave, NW 8th Floor		08 08 2012
City Washington	State         Zip Code           DC         20005-4269	Transaction ID : 20262253  Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	38.50
Name of Employer	Occupation  Managing Director	
Securities Industry and Financial Mark Receipt For:	Managing Director	4
Primary General	Aggregate Year-to-Date ▼	
Other (specify) ▼	499.50	
SUBTOTAL of Receipts This Page (optional)		2134.65
TOTAL This Period (last page this line numb		

FOR LINE NUMBER: **PAGE** (check only one) X 11a 11b 11c

7 OF 17 Use separate schedule(s) for each category of the 12 Detailed Summary Page 14 13 15 16

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Tracy Eichler Date of Receipt Mailing Address 120 Broadway 35th Floor 08 2012 City Zip Code State Transaction ID: 20262254 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 19.23 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Director Receipt For: Aggregate Year-to-Date ▼ Primary General 288.45 Other (specify) Full Name (Last, First, Middle Initial) B. Ms. Lisa Fues Date of Receipt Mailing Address 1101 New York Ave, NW 8th Floor 08 2012 80 City State Zip Code Transaction ID: 20262255 DC Washington 20005-4269 Amount of Each Receipt this Period FEC ID number of contributing 19.23 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Vice President Receipt For: Aggregate Year-to-Date ▼ Primary General 211.55 Other (specify) Full Name (Last, First, Middle Initial) c. Marin E. Gibson Date of Receipt Mailing Address 120 Broadway 80 35th Floor 80 2012 City Zip Code State Transaction ID: 20262256 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 70.00 С federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director & Counsel Receipt For: Aggregate Year-to-Date ▼ Primary General 1050.02 Other (specify) 108.46 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only)..... - 9

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER:			PAGE	8	OF		17	
(check only one)								
X 1	1a	11b		11c	12			
13	3	14		15	16			17

	the name and address of any political committee	
,	cial Markets Association Political A	ction Committee
Full Name (Last, First, Middle Initial)  Mr. Kenneth E. Bentsen Jr.  Mailing Address 1101 New York Ave, NW  8th Floor		Date of Receipt  M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State Zip Code	Transaction ID: 20262258
Washington	DC 20005-4269	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	192.35
Name of Employer	Occupation	_
Securities Industry and Financial Mark	EVP, Public Policy and Advocacy	
Receipt For:	Aggregate Year-to-Date ▼	7
Primary General  Other (specify) ▼	2885.25	
Full Name (Last, First, Middle Initial)  Ms. Lisa Bleier		Date of Receipt
Mailing Address 1101 New York Ave, NW		M = M / D = D / Y = Y = Y
8th Floor	Ctata Zin Cada	08 08 2012
City Washington	State Zip Code DC 20005-4269	Transaction ID : 20262259
Washington 550 ID gural or of contribution	2000 1200	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	19.23
Name of Employer	Occupation	1
Securities Industry and Financial Mark	Managing Director	
Receipt For:  Primary General  Other (specify) ▼	Aggregate Year-to-Date ▼  288.47	
Full Name (Last, First, Middle Initial)  C. Ms. Kyle Brandon		Date of Receipt
Mailing Address 120 Broadway 35th Floor		08 08 2012
City	State Zip Code	Transaction ID: 20262260
New York	NY 10271-3599	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	96.15
Name of Employer	Occupation	†
Securities Industry and Financial Mark	Managing Director, DOR	
Receipt For:	Aggregate Year-to-Date ▼	7
Primary General		
Other (specify) ▼	1421.50	
SUBTOTAL of Receipts This Page (optional).		307.73
TOTAL This Period (last page this line numb	er only)	

Use separate schedule(s) for each category of the Detailed Summary Page

-	OR LINE	MOMBER	: PAGE	: 9 OF	17		
(c	(check only one)						
	<b>X</b> 11a	11b	11c	12			
	13	14	15	16	17		

Any information copied from such Reports an or for commercial purposes, other than using	d Statements may not be sold or used by any pers the name and address of any political committee t	son for the purpose of soliciting contributions o solicit contributions from such committee.
NAME OF COMMITTEE (In Full) Securities Industry and Finan	cial Markets Association Political A	ction Committee
Full Name (Last, First, Middle Initial)  Ms Kim Chamberlain  Mailing Address 120 Broadway		Date of Receipt
35th Floor		08 08 2012
City	State Zip Code	Transaction ID : 20262261
New York	NY 10271-3599	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	38.50
Name of Employer	Occupation	
Securities Industry and Financial Mark	Managing Director & Counsel, State Gov	
Receipt For:  Primary General  Other (specify) ▼	Aggregate Year-to-Date ▼ 615.00	
Full Name (Last, First, Middle Initial)  3. Ms. Kristen M. Kimmell		Date of Receipt
Mailing Address 19593 Cambridge Court		08 21 2012 _
City	State Zip Code	Transaction ID: 20282264
Farmington	MN 55024-1493	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	250.00
Name of Employer	Occupation	
RBC Wealth Management	Chief of Staff - Managing Director	
Receipt For:  Primary General  Other (specify) ▼	Aggregate Year-to-Date ▼  250.00	
Full Name (Last, First, Middle Initial)  C. Mr. Bradley Angell		Date of Receipt
Mailing Address 327 N. 54th Ave, W #3		08 21 2012
City	State Zip Code	Transaction ID: 20282266
Duluth	MN 55807-2665	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	250.00
Name of Employer	Occupation	-
RBC Wealth Management	Complex Director	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	250.00	
SUBTOTAL of Receipts This Page (optional	)	538.50
TOTAL This Period (last page this line number	per only)	

FOR LINE NUMBER: PAGE 10 OF Use separate schedule(s) (check only one) for each category of the X 11a 11b 12 11c Detailed Summary Page

17

13 14 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Gary D Marino Date of Receipt Mailing Address 1225 Lake Falls Road 2012 21 City Zip Code State Transaction ID: 20282267 MD **Baltimore** 21210-1015 Amount of Each Receipt this Period FEC ID number of contributing 250.00 federal political committee. Name of Employer Occupation **RBC Capital Markets** Complex Director Receipt For: Aggregate Year-to-Date ▼ Primary General 250.00 Other (specify) Full Name (Last, First, Middle Initial) B. Mr. Ward D. Ring Date of Receipt Mailing Address 5223 Larada Lane 80 2012 21 City State Zip Code Transaction ID: 20282268 MN Edina 55436-1082 Amount of Each Receipt this Period FEC ID number of contributing 250.00 federal political committee. Name of Employer Occupation **RBC** Wealth Management Wealth Management Receipt For: Aggregate Year-to-Date ▼ Primary General 250.00 Other (specify) Full Name (Last, First, Middle Initial) c. Ms. Mary Zimmer Date of Receipt Mailing Address 848 Brenner Avenue 2012 80 21 City Zip Code State Transaction ID: 20282269 MN Roseville 55113-1904 Amount of Each Receipt this Period FEC ID number of contributing 2500.00 С federal political committee. Name of Employer Occupation **RBC** Wealth Management Head, Primary Advisor Services Receipt For: Aggregate Year-to-Date ▼ Primary General 5000.00 Other (specify) 3000.00 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

	FOR LINE NUMBER: PAGE 11	OF 17
Use separate schedule(s) for each category of the	(check only one)	
Detailed Summary Page	X 11a 11b 11c 1:	2
, 0		6 17

	tatements may not be sold or used by any person name and address of any political committee to	
NAME OF COMMITTEE (In Full)		
angle Securities Industry and Financia	I Markets Association Political Act	ion Committee
Full Name (Last, First, Middle Initial)  Mr. Kenneth E. Bentsen Jr.		Date of Receipt
Mailing Address 1101 New York Ave, NW 8th Floor		08 22 _ 2012 _
City	State Zip Code	Transaction ID: 20290873
Washington	DC 20005-4269	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	192.35
Name of Employer	Occupation	
Securities Industry and Financial Mark	EVP, Public Policy and Advocacy	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General	55 5	
Other (specify) ▼	3077.60	
Full Name (Last, First, Middle Initial)  Ms. Lisa Bleier		Date of Receipt
Mailing Address 1101 New York Ave, NW		M = M / D = D / Y = Y = Y
8th Floor	State 7in Code	08 22 2012
City	State Zip Code  DC 20005-4269	Transaction ID : 20290874
Washington	DC 20005-4269	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С	19.23
Name of Employer	Occupation	
Securities Industry and Financial Mark	Managing Director	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General	55 0	
Other (specify) ▼	307.70	
Full Name (Last, First, Middle Initial)  Ms. Kyle Brandon		Date of Receipt
Mailing Address 120 Broadway		M = M / D = D / Y = Y = Y
35th Floor	State 7in Code	08 22 2012
City New York	State Zip Code NY 10271-3599	Transaction ID : 20290875
	10211-3399	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	96.15
Name of Employer	Occupation	
Securities Industry and Financial Mark	Managing Director, DOR	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General		
Other (specify) ▼	1517.65	
SUBTOTAL of Receipts This Page (optional)		307.73
TOTAL This Period (last page this line number of	only)	

# SCHEDULE A (FEC Form 3X)

FOR LINE NUMBER: PAGE 12 OF

TEMIZED RECEIPTS	for each category of the Detailed Summary Page	X   11a
Any information copied from such Reports and or for commercial purposes, other than using the	Statements may not be sold or used by any pene name and address of any political committee	rson for the purpose of soliciting contributions to solicit contributions from such committee.
NAME OF COMMITTEE (In Full)  Securities Industry and Finance	ial Markets Association Political A	Action Committee
Full Name (Last, First, Middle Initial)  Ms Kim Chamberlain  Mailing Address 120 Broadway  35th Floor  City  New York  FEC ID number of contributing federal political committee.  Name of Employer  Securities Industry and Financial Mark  Receipt For:  Primary  General  Other (specify)	State Zip Code NY 10271-3599  C  Occupation Managing Director & Counsel, State Gov  Aggregate Year-to-Date ▼  653.50	Date of Receipt  08 22 2012  Transaction ID: 20290876  Amount of Each Receipt this Period  38.50
Full Name (Last, First, Middle Initial)  Ms. Cheryl Crispen  Mailing Address 1101 New York Ave, NW  City  Washington  FEC ID number of contributing federal political committee.  Name of Employer  Securities Industry and Financial Mark  Receipt For:  Primary  General  Other (specify)	State Zip Code DC 20005-4213  C  Occupation Executive Vice President, Communicatio  Aggregate Year-to-Date ▼  1538.40	Date of Receipt  M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
Full Name (Last, First, Middle Initial)  Ms. Bradley Gaskins Edgell  Mailing Address 1101 New York Ave, NW 8th Floor  City Washington  FEC ID number of contributing federal political committee.  Name of Employer  Securities Industry and Financial Mark  Receipt For:  Primary General Other (specify)	State Zip Code DC 20005-4269  C  Occupation Managing Director  Aggregate Year-to-Date ▼  538.00	Date of Receipt  M M / 22 2012  Transaction ID : 20290878  Amount of Each Receipt this Period  38.50
SUBTOTAL of Receipts This Page (optional)	· • • • • • • • • • • • • • • • • • • •	173.15
TOTAL This Period (last page this line numbe	r only)	

FOR LINE NUMBER: PAGE 13 OF Use separate schedule(s) (check only one) X 11a 11b 11c

17

for each category of the 12 Detailed Summary Page 14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Tracy Eichler Date of Receipt Mailing Address 120 Broadway 35th Floor 2012 22 City State Zip Code Transaction ID: 20290879 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 19.23 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Director Receipt For: Aggregate Year-to-Date ▼ Primary General 307.68 Other (specify) Full Name (Last, First, Middle Initial) B. Ms. Lisa Fues Date of Receipt Mailing Address 1101 New York Ave, NW 8th Floor 08 2012 22 City State Zip Code Transaction ID: 20290880 DC Washington 20005-4269 Amount of Each Receipt this Period FEC ID number of contributing 19.23 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Vice President Receipt For: Aggregate Year-to-Date ▼ Primary General 230.78 Other (specify) Full Name (Last, First, Middle Initial) c. Marin E. Gibson Date of Receipt Mailing Address 120 Broadway 2012 35th Floor 80 22 City Zip Code State Transaction ID: 20290881 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 70.00 С federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director & Counsel Receipt For: Aggregate Year-to-Date ▼ Primary General 1120.02 Other (specify) 108.46 SUBTOTAL of Receipts This Page (optional).....

- 9

TOTAL This Period (last page this line number only).....

FOR LINE NUMBER: PAGE 14 OF Use separate schedule(s) (check only one) X 11a 11b 12 11c

17

for each category of the Detailed Summary Page 13 14 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Larry S Wieseneck Date of Receipt Mailing Address 23 Bloomfield Way 80 2012 City State Zip Code Transaction ID: 20336128 West Orange NJ 07052-4918 Amount of Each Receipt this Period FEC ID number of contributing C 2500.00 federal political committee. Name of Employer Occupation **Barclays Capital** Chief Strategy Officer Receipt For: Aggregate Year-to-Date ▼ Primary General 2500.00 Other (specify) Full Name (Last, First, Middle Initial) B. Mr. Chet Helck Date of Receipt Mailing Address 255 6th Avenue 08 30 2012 City State Zip Code Transaction ID: 20336130 FL Tierra Verde 33715-1866 Amount of Each Receipt this Period FEC ID number of contributing 5000.00 federal political committee. Name of Employer Occupation Raymond James Financial, Inc. Chief Operating Officer Receipt For: Aggregate Year-to-Date ▼ Primary General 5000.00 Other (specify) Full Name (Last, First, Middle Initial) Date of Receipt Mailing Address City State Zip Code Amount of Each Receipt this Period FEC ID number of contributing C federal political committee. Name of Employer Occupation Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 7500.00 SUBTOTAL of Receipts This Page (optional)..... 14178.68 TOTAL This Period (last page this line number only).....

#### S ľ

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS			Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 15 OF 17 (check only one)  11a 11b X 11c 12 13 14 15 16 17			
	ny information copied from such Reports and SI for commercial purposes, other than using the			erson for the purpose of soliciting contributions			
	NAME OF COMMITTEE (In Full)  Securities Industry and Financia	l Market	s Association Political	Action Committee			
Α.	Full Name (Last, First, Middle Initial) The Charles Schwab Corporation PAC	;		Date of Receipt			
Mailing Address 101 Montgomery Street			7.0	08			
	City	State CA	Zip Code	Transaction ID: 20238954			
	San Francisco	CA	94101	Amount of Each Receipt this Period			
	FEC ID number of contributing federal political committee.	C co	0370114	5000.00			
	Name of Employer	Occupation	1				
	Receipt For:	Aggregate	Year-to-Date ▼				
	Primary General  Other (specify) ▼		5000.00	Contribution			
В.	Full Name (Last, First, Middle Initial) AEGON USA, LLC/TRANSAMERICA	A CORPO	PRATION PAC	Date of Receipt			
	Mailing Address 1001 Pennsylvania Avenue NV Suite 500A South		Zin Codo	08 10 Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y			
	City	State DC	Zip Code 20004	Transaction ID : 20352624			
	Washington	DC	20004	Amount of Each Receipt this Period			
	FEC ID number of contributing federal political committee.	C co	0236414	3000.00			
	Name of Employer	Occupation	1				
	Receipt For:  Primary General  Other (specify) ▼	Aggregate	Year-to-Date ▼ 3000.00	Contribution			
_	Full Name (Last, First, Middle Initial)		, ,	•			
C.	Mailing Address			Date of Receipt			
	City	State	Zip Code	Amount of Each Receipt this Period			
	FEC ID number of contributing federal political committee.	С		Amount of Each Necept this Feriod			
	Name of Employer	Occupation	1				
	Receipt For:	Aggregata	Year-to-Date ▼				
	Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼				
S	SUBTOTAL of Receipts This Page (optional)			8000.00			

TOTAL This Period (last page this line number only).....

8000.00

#### S 17

Use separate schedule(s) for cech category of the Detailed Summary Page	SCHEDIII E A (EEC Form 3Y)			I				
TEMIZED RECEIPTS    Detailed Summary Page		,		Use separate schedule(s)	10112111211121111			
Appropriate   Approximation copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.    Pull Name (Last, First, Middle Initial)   A. Securities Industry and Financial Markets Association   Date of Receipt	ITEMIZED RECEIPTS			for each category of the				
Apy information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any pollical committee to solicit contributions from such committee.    NAME OF COMMITTEE (in Full)				Detailed Summary Page				
Securities Industry and Financial Markets Association Political Action Committee  Full Name (Last, First, Middle Initial)  B. Mailing Address  City  State  State	Ar	y information copied from such Reports and St for commercial purposes, other than using the	atements mand a	ay not be sold or used by any po address of any political committee	erson for the purpose of soliciting contributions to solicit contributions from such committee.			
Full Name (Last, First, Middle Initial)  A. Securities Industry and Financial Markets Association  Mailing Address 120 Broadway Floor 35  City Floor 35  State  Zip Code NY 10271  FEC ID number of contributing federal political committee.  Name of Employer  Full Name (Last, First, Middle Initial)  B. Mailing Address  City  State  Zip Code  Anount of Each Receipt this Period  Receipt For: Primary General Other (specify) ▼  State  Zip Code  Anount of Each Receipt this Period  Receipt For: Primary General Other (specify) ▼  Full Name (Last, First, Middle Initial)  C. Mailing Address  City  State  Zip Code  Anount of Each Receipt this Period  Anount of Each Receipt this Period  Anount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  City  State  Zip Code  Anount of Each Receipt this Period  Anount of Each Receipt this Period  FEC ID number of contributing federal political committee.  City  State  Zip Code  Anount of Each Receipt this Period  Anount of Each Receipt this Period  FEC ID number of contributing federal political committee.  City  State  Zip Code  Anount of Each Receipt this Period  Anount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Anount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Anount of Each Receipt this Period  Anount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Anount of Each Receipt this Period		NAME OF COMMITTEE (In Full)						
A. Securities Industry and Financial Markets Association  Mailing Address 120 Breadway Floor 35 City Floor 35 State Zip Code NY 102271  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Full Name (Last, First, Middle Initial)  FEC ID number of contributing federal political committee.  Name of Employer  Full Name (Last, First, Middle Initial)  FUI Name (Last, First, Middle Initial)  FEC ID number of contributing federal political committee.  Name of Employer  Cocupation  Receipt For: Primary General Other (specify) ▼  Full Name (Last, First, Middle Initial)  C. Mailing Address  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  City State Zip Code  Amount of Each Receipt this Period  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Amount of Each Receipt this Period  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Amount of Each Receipt this Period  Amount of Each Receipt this Period  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Amount of Each Receipt this Period  Amount of Each Receipt this Period		•	l Market	s Association Political /	Action Committee			
City New York New Yo	Α.		ets Associ	iation	Date of Receipt			
City New York New York NY 10271  FEC ID number of contributing federal political committee. Name of Employer  Receipt For: Primary General Other (specify) ▼  FEC ID number of contributing federal political committee.  Name of Employer  Aggregate Year-to-Date ▼  Reimbursement of Bank Fees  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Receipt For: Primary General Other (specify) ▼  Full Name (Last, First, Middle Initial)  C. Mailing Address  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Aggregate Year-to-Date ▼  Amount of Each Receipt this Period		· · · · · · · · · · · · · · · · · · ·						
New York  NY 10271  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer    C			State	Zin Code				
FEC ID number of contributing federal political committee.  Name of Employer    Receipt For:		•		•				
Receipt For:			_		Amount of Each neceipt this Period			
Receipt For:    Primary		· ·	С					
Primary General Other (specify) ▼ 1865.88 Reimbursement of Bank Fees  Full Name (Last, First, Middle Initial)  B. Mailing Address  City State Zip Code  FEC ID number of contributing federal political committee.  Name of Employer Occupation  Receipt For: Primary General Other (specify) ▼  Full Name (Last, First, Middle Initial)  C. Mailing Address  City State Zip Code  Full Name (Last, First, Middle Initial)  C. Mailing Address  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer Occupation  FEC ID number of contributing federal political committee.  Name of Employer Occupation  Receipt For: Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  Other (specify) ▼  Aggregate Year-to-Date ▼		Name of Employer	Occupation	1				
Primary General Other (specify) ▼ 1865.88  Full Name (Last, First, Middle Initial)  B. Mailing Address  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer Occupation  Receipt For:  Primary General Other (specify) ▼  C. Mailing Address  City State Zip Code  Amount of Each Receipt this Period  Date of Receipt this Period  Aggregate Year-to-Date ▼  Full Name (Last, First, Middle Initial)  C. Mailing Address  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer Occupation  Receipt For:  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  Primary General Other (specify) ▼		Receipt For:	Aggregate	Year-to-Date ▼				
Full Name (Last, First, Middle Initial)  B. Mailing Address  City  State  Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  Full Name (Last, First, Middle Initial)  C. Date of Receipt this Period  Aggregate Year-to-Date ▼  Amount of Each Receipt this Period  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  Occupation  Aggregate Year-to-Date ▼					Reimbursement of Bank Fees			
B. Mailing Address  City State Zip Code  FEC ID number of contributing federal political committee.  Name of Employer  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  FEC ID number of contributing federal political committee.  C. Mailing Address  City State Zip Code  Amount of Each Receipt this Period  Date of Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Receipt For:  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼		Other (specify) ▼						
Mailing Address  City  State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  C.  Primary General Other (specify) ▼  C.  Mailing Address  City  State Zip Code  Amount of Each Receipt this Period  Date of Receipt  Aggregate Year-to-Date ▼  Date of Receipt  Amount of Each Receipt this Period  C.  Mailing Address  City  State Zip Code  Amount of Each Receipt this Period  C.  Amount of Each Receipt this Period  PEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  Other (specify) ▼		Full Name (Last, First, Middle Initial)						
City  State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For: Primary General Other (specify) ▼  Full Name (Last, First, Middle Initial)  C.  Mailing Address  City  State Zip Code  Amount of Each Receipt this Period  Date of Receipt  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For: Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  Primary General Other (specify) ▼	В.		Date of Heceipt					
Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General  Other (specify) ▼  Date of Receipt  Aggregate Year-to-Date ▼  Date of Receipt  Amount of Each Receipt this Period  Full Name (Last, First, Middle Initial)  C.  Mailing Address  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General  Other (specify) ▼  Aggregate Year-to-Date ▼  Other (specify) ▼		Mailing Address			M M / D D / Y Y Y Y			
Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General  Other (specify) ▼  Date of Receipt  Aggregate Year-to-Date ▼  Date of Receipt  Amount of Each Receipt this Period  Full Name (Last, First, Middle Initial)  C.  Mailing Address  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General  Other (specify) ▼  Aggregate Year-to-Date ▼  Other (specify) ▼		City	State	Zip Code				
Receipt For:    Primary					Amount of Each Receipt this Period			
Receipt For:    Primary		FEC ID number of contributing						
Receipt For:  Primary General  Other (specify) ▼  Full Name (Last, First, Middle Initial)  C.  Mailing Address  City State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  Aggregate Year-to-Date ▼								
Primary General Other (specify) ▼  Full Name (Last, First, Middle Initial)  C.  Mailing Address  City State Zip Code  FEC ID number of contributing federal political committee.  Name of Employer  Ccupation  Receipt For:  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  Aggregate Year-to-Date ▼		Name of Employer	Occupation	1				
Primary General Other (specify) ▼  Full Name (Last, First, Middle Initial)  C.  Mailing Address  City State Zip Code  FEC ID number of contributing federal political committee.  Name of Employer  Ccupation  Receipt For:  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼  Aggregate Year-to-Date ▼		Receipt For:	Aggragata	Voor to Data W				
Full Name (Last, First, Middle Initial)  C.  Mailing Address  City  State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General  Other (specify)   Aggregate Year-to-Date   Aggregate Year-to-Date		Primary General	Aggregate	Teal-to-Date ▼				
C.  Mailing Address  City  State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼		Other (specify) ▼		<u> </u>				
Mailing Address  City  State Zip Code  Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary  General  Other (specify) ▼  Aggregate Year-to-Date ▼	<u> </u>	Full Name (Last, First, Middle Initial)			Date of Receipt			
Amount of Each Receipt this Period  FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary  Other (specify) ▼  Aggregate Year-to-Date ▼	•	Mailing Address			M = M / D = D / Y = Y = Y			
FEC ID number of contributing federal political committee.  Name of Employer  Occupation  Receipt For:  Primary General Other (specify) ▼  Aggregate Year-to-Date ▼		City	State	Zip Code	Amount of Each Receipt this Period			
Receipt For:  Primary Other (specify) ▼  Aggregate Year-to-Date ▼		EEC ID number of contribution			Amount of Lacif Necelpt this Fellou			
Receipt For:  Primary General  Other (specify) ▼  Aggregate Year-to-Date ▼		•	C					
Primary General Other (specify) ▼		Name of Employer	Occupation	1				
Primary General Other (specify) ▼		Receipt For:	Aggregate	Year-to-Date ▼				
400.28			Aggregate	Tour to Date ▼				
SUBTOTAL of Receipts This Page (ontional)		Other (specify) ▼		7				
1 SUBJULIA O BECERGE THE PSOA DONORSO	<u></u>	IIPTOTAL of Possints This Page (artists)			490.38			

TOTAL This Period (last page this line number only).....

490.38

SC	CHEDULE B (FEC Form 3X)			FOR LINE	NUMBER:		PAGE	17 (	OF 17	
ITEMIZED DISBURSEMENTS		Use separate schedule(s) for each category of the	(check onl	y one)			7.55	_		
			Summary Page	X 21b	22 28a	23 28b	24 28c	25 29	26 30k	
Λ	v information conicd from such Departs and Classes	l nonto massa	not be sold as as							
	y information copied from such Reports and Staten for commercial purposes, other than using the nam									
	NAME OF COMMITTEE (In Full)									
$\rangle$	Securities Industry and Financial M	larkets /	Association	Political A	ction Co	mmittee	!			
_	Full Name (Last, First, Middle Initial)				D	D: 1				
Α.	PNC Bank				Date of Disbursement					
	Mailing Address 1400 K Street, NW		tate Zip Code			08 06 2012				
	City	State				Transaction ID : 20348990				
	Washington Purpose of Disbursement	DC	20005		ITalisa	iction ib . 2	20340330			
	Credit Card Fees			001	Amount	of Each Di	sburseme	nt this	Period	
	Candidate Name			Category/		298	3.00			
	Office Sought: House Disbursen	nent For		Type		7	7			
		Primary	General		Credit Ca	ard Fees				
	President	Other (spe	cify) 🔻		3.531.50					
	State: District:									
	Full Name (Last, First, Middle Initial)				Data of	Dialaaaaa				
D.	PNC Bank					Disbursem				
	Mailing Address 1400 K Street, NW				08 02 2012					
	City Sashington	State DC	Zip Code 20005		Transa	ection ID :	20348992			
	Purpose of Disbursement		20003		-					
	Bank Fees	001			Amount of Each Disbursement this Period					
	Candidate Name			192.38						
	Office Sought: House Disbursen	nent For:			1					
		Primary	General		Bank Fe	es				
	President State: District:	Other (spec	city) 🔻							
	Full Name (Last, First, Middle Initial)									
C.					Date of	Disbursem	ent			
Mailing Address					M I M	/ D D	/ Y	ΥΥ	Υ	
	Mailing Address						سا ا			
	City	State	Zip Code							
	Purpose of Disbursement				-					
Candidate Name				Category/ Type	Amount	of Each Di	sburseme	nt this	Period	
	Office Sought: House Disbursen	nent For:		iype		7	7			
		Primary	General							
	President	Other (spe	cify) 🔻							
	State: District:									
								400	20	
S	UBTOTAL of Disbursements This Page (optional)			·····•		7	7	490	.36	
Τ,	TAL This Period (last page this line number only)							490	.38	
	OTAL This Period (last page this line number only)	•••••				- 7	7			